

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	09802223
Filing Date	2001-03-08
First Named Inventor	Keith
Art Unit	3696
Examiner Name	Ojo O. Oyebisi
Attorney Docket Number	125524

<b>U.S.PATENTS</b>						<b>Remove</b>
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
/O.O./	1	6405180	B2	2002-06-11	Tilfors	
/O.O./	2	7035819	B1	2006-04-25	Gianakouros	
If you wish to add additional U.S. Patent citation information please click the Add button.						<b>Add</b>

  

<b>U.S.PATENT APPLICATION PUBLICATIONS</b>						<b>Remove</b>
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
/O.O./	1	20020138390	A1	2002-09-26	May	
/O.O./	2	20030093343	A1	2003-05-15	Huttenlocher	
/O.O./	3	20090083175	A1	2009-03-26	Cushing	
If you wish to add additional U.S. Published Application citation information please click the Add button.						<b>Add</b>

<b>FOREIGN PATENT DOCUMENTS</b>							<b>Remove</b>	
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <b>( Not for submission under 37 CFR 1.99)</b>		Application Number	09802223
		Filing Date	2001-03-08
		First Named Inventor	Keith
		Art Unit	3696
		Examiner Name	Ojo O. Oyebisi
		Attorney Docket Number	125524

	1								<input type="checkbox"/>
--	---	--	--	--	--	--	--	--	--------------------------

If you wish to add additional Foreign Patent Document citation information please click the Add button

**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T5
/O.O./	1	KARANDE, K., "MiFI D Best Execution Benchmark," a discussion based on "The Process of Achieving Best Execution, Investment Guides: Transaction Performance, the Changing Face of Trading," Euromoney, Institutional Investor PLC, March 2002, pp. 1-15.	<input type="checkbox"/>
/O.O./	2	PR Newswire, "TIS Worldwide Builds Stock Market Game for Securities Industry Foundation for Economic Education," New York, April 3, 2000, < <a href="http://proquest.umi.com/pqdweb?index=0&amp;did=57225218&amp;SrchMode=1&amp;sid=2&amp;Fmt=3&amp;V...">http://proquest.umi.com/pqdweb?index=0&amp;did=57225218&amp;SrchMode=1&amp;sid=2&amp;Fmt=3&amp;V...</a> > [retrieved June 22, 2008], 3 pages.	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

**EXAMINER SIGNATURE**

Examiner Signature	/Ojo Oyebisi/	Date Considered	08/02/2009
--------------------	---------------	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.